

United States v. Paul J. Konigsberg, S12 10 Cr. 228 (LTS)

Count	Charge	Maximum Penalties¹
ONE	Conspiracy to (1) Falsify the Records of a Broker-Dealer, (2) to Falsify the Records of an Investment Advisor, and (3) to Obstruct and Impede the Due Administration of the Internal Revenue Laws	5 years' imprisonment; 3 years' supervised release; fine of the greatest of \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution; and criminal forfeiture.
TWO	Falsifying the Records of a Broker-Dealer	20 years' imprisonment; 3 years' supervised release; fine of the greatest of \$5,000,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution; and criminal forfeiture.
THREE	Falsifying the Records of an Investment Advisor	5 years' imprisonment; 3 years' supervised release; \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution; and criminal forfeiture

¹ The maximum penalties are prescribed by Congress and are provided here for informational purposes only, as any sentencing of the defendant will be determined by the judge.